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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
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May 22, 2001

Commissioner for Patents
Washington, D.C. 20231

Box Missing Parts

Re: U.S. Utility Patent Application
Appl. No. 09/722,077; Filed: November 27, 2000
For: **Method and Apparatus for One-Stage and Two-Stage Noise
Feedback Coding of Speech and Audio Signals**
Inventor: Juin-Hwey Chen
Our Ref: 1875.0250001/RES/AJF (Formerly 1875.0240000)

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated March 26, 2001, Applicant submits the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal Form PTO/SB/17 (in duplicate);
2. Copy of the Notice to File Missing Parts;
3. Original Declaration, executed by the inventor;
4. An original executed Power of Attorney from Assignee;
5. Assignee 37 C.F.R. § 3.73(b) Statement with copy of Assignment attached;

Commissioner for Patents

May 22, 2001

Page 2

6. Our **Check No. 31272** for **\$1,712.00** to cover:
 \$710.00 Filing Fee for Patent Application (37 C.F.R. § 1.16)
 \$872.00 Fee for excess claims (37 C.F.R. § 1.16)
 \$130.00 Surcharge for late filing of Declaration (37 C.F.R. § 1.16); and
7. Return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



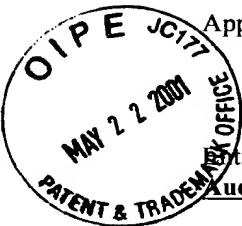
Albert J. Fasulo, II
Attorney for Applicant
Registration No. 43,607

Enclosures

Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: Juin-Hwey Chen

Application No./Patent No.: 09/722,077 Filed/Issue Date: November 27, 2000



Entitled: Method and Apparatus for One-Stage and Two-Stage Noise Feedback Coding of Speech and Audio Signals, a Broadcom Corporation Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE:] A separate copy (*i.e.*, the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]


The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: April 13, 2001


Name: William Ruehle

Title: Vice President & CFO

Signature: _____

 <h2 style="margin: 0;">FEE TRANSMITTAL for FY 2001</h2> <p style="font-size: small;">Patent fees are subject to annual revision.</p>	Complete if Known											
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Application Number</td> <td>09/772,077</td> </tr> <tr> <td>Filing Date</td> <td>November 27, 2000</td> </tr> <tr> <td>First Named Inventor</td> <td>Juin-Hwey Chen</td> </tr> <tr> <td>Examiner Name</td> <td>To be assigned</td> </tr> <tr> <td>Group Art Unit</td> <td>2644</td> </tr> <tr> <td>Attorney Docket No.</td> <td>1875.0250001/RES/AJF</td> </tr> </table>	Application Number	09/772,077	Filing Date	November 27, 2000	First Named Inventor	Juin-Hwey Chen	Examiner Name	To be assigned	Group Art Unit	2644	Attorney Docket No.
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METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																																						
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Deposit Account Number</td> <td>19-0036</td> </tr> <tr> <td>Deposit Account Name</td> <td>Sterne, Kessler, Goldstein & Fox P.L.L.C.</td> </tr> </table> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other*</p> <p style="font-size: x-small;">*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.</p>	Deposit Account Number	19-0036	Deposit Account Name	Sterne, Kessler, Goldstein & Fox P.L.L.C.	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td>130.00</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520</td> <td>For filing a request for <i>ex parte</i> reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,390</td> <td>218</td> <td>695</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,890</td> <td>228</td> <td>945</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>310</td> <td>219</td> <td>155</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>270</td> <td>221</td> <td>135</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - 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114	150	214	75	Provisional filing fee																																																																																																																																																																																			
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103	18	203	9	Claims in excess of 20																																																																																																																																																																																			
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104	270	204	135	Multiple dependent claim																																																																																																																																																																																			
108	80	209	40	**Reissue independent claims over original patent																																																																																																																																																																																			
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																			
SUBTOTAL (2) (\$ 872.00)																																																																																																																																																																																							

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	Albert J. Fasulo, II	Registration No. (Attorney/Agent)	43,607	Telephone	202-371-2600
Signature		Date	5/22/01		



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/722,077	11/27/2000	Juin-Hwey Chen	1875.0240000

CONFIRMATION NO. 3566

FORMALITIES LETTER



OC000000005904474

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Attorneys at Law
Suite 600
1100 New York Avenue, N.W.
Washington, DC 20005-3934

Date Mailed: 03/26/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$872.
 - \$792 for 44 total claims over 20.
 - \$80 for 1 independent claims over 3 .
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1712.**

*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/23/2001 BHABTEW 00000051 09722077
01 FC:101 710.00
02 FC:103 792.00
03 FC:102 80.00
04 FC:105 130.00